This is what was found by the ETH-GFZ pod at ETH/GFZ on policies for handling complaints, the reporting process, resources, and possible outcomes. Some information was public; answers that were only found through follow up with contacts are noted [at the moment no contacts were made]

**URGE Complaints and Reporting Policy for GFZ Potsdam**

- **The link(s) to the reporting policy at our organization are here:**
  - Link - Organization, Company, University Policies
    See below
  - Link - Department, Lab, Division, Advisor or Supervisor Policies
    N/A
  - Are reporting policies regularly reviewed? What is the process for changing policy?
    N/A
  - Are the rates of reporting made publicly available (e.g. # of reports each year)?
    No

- **What mechanisms are available for reporting complaints, bias, microaggressions, harassment, and overt racism?**
  - Who are the designated individuals/positions for reporting incidents?
    Found in a newsletter on the intranet: Team of “Konfliktberatung” (Knut Günther, Annett Hüttges, Cornelia Schäfer, Sabine Thiel, Andrea Vieth-Hillebrand, Ute Weckmann). No information on a dedicated webpage easily accessible and indexed. From the Service Agreement annex 1 (in part out of date):
      Complaints Office
      Dr. B. Hörstrup, Head of V1 [Bettina Hörstrup just moved to PIK, has a doctorate in law]
      Dr. H. Schelle, Chairman of the Staff Council [Holger Schelle, geophysicist, is not in that position anymore]
      Conflict Management Team
      C. Schäfer, head of working group in V1
      Dr. A. Hüttges, mediator [Annette Hüttges has a PhD in Social studies or psychology]
      Dr. U. Weckmann, equal opportunities officer [Ute Weckmann has a PhD in
geophysics]
S. Thiel, representative officer for employees with severe disabilities [Sabine Thiel is professional staff]
Dr. A. Vieth-Hillebrand, Deputy Chairwoman of the Staff Council [Andrea Vieth-Hillebrand has a PhD in geochemistry]
K. Günther, member of the Staff Council [Knut Günther has a Diploma in geology]
Certified Mediators at the GFZ
A. Lerch, V1 [Anke Lerch is professional staff]
Dr. A. Hüttges, V1
A. Scholz, AVB [Almut Scholz is professional staff]

○ Can reports be made online? Where? Yes, via email, see below. Anonymously? No

○ Access to reporting information on the institute website
  ■ Intranet → HSE (bottom of left column, no explanation of the acronym, though can be accessed as “Health and Safety” from shortcuts on right-hand side) → Arbeits- und Gesundheitsschutz (no more English) → Portal Arbeits- und Gesundheitsschutz → N/A [only information about lab accidents and medical emergencies]
  ■ Intranet → Reporting → administrative reports of the past years
  ■ Intranet → SEARCH: “harassment” = one hit → “Service Agreement on Measures Relating to Social Misconduct, Conflict Prevention and Conflict Resolution at the GFZ”, here we find all the rules regarding conflict resolution and complaints, including an email address for conflict advice (konfliktberatung@gfz-potsdam.de) in §5 and for complaint report (beschwerdestelle@gfz-potsdam.de) in §5. Details of that document are copied at the end of the document
  ■ Public website → About us → GFZ as an Employer → Employee representation: Staff council, Equal-Opportunities-Commissioner, Representative Body for Disabled Employees, Youth and Education Representative Body, PhD representatives. Nothing clearly about conflict resolution or complaint reports.
  ■ Public website → About us → Career Center: members of that team appear in the annex of the service agreement mentioned above as certified mediators.

○ Who do in-person and online reports go to? Who has access to see reports? The two email addresses for complaints do not identify who will get to read the email. This is suggested in the annex of the Service Agreement with the listed officers however several have left their position in the meantime. A newsletter item reports the current composition of the “Konfliktberatung” (German term used in the English translation) as being Knut Günther, Annett Hüttges, Cornelia Schäfer, Sabine Thiel, Andrea Vieth-Hillebrand, Ute Weckmann

○ Are police included in the process? When and how? Are individuals accompanied by an advocate or someone from the organization? N/A
- **What are the outcomes or consequences for reported individuals?**
  - Follow-up by supervisor, training (bias, etc.), disciplinary action, termination.
  - Who decides the outcomes/consequences? What is the process?

  From the Service Agreement (full document below):
  
  “**Annex 2: Mediation at GFZ**

  Mediation is a confidential, structured procedure, in which the conflicting parties attempt, with the aid of one or more mediators, to voluntarily and under their own responsibility, to find a mutual path to resolving their conflict (§1, para. 1 of the Mediation Act).

  The basic principle of mediation is that a third party, a person accepted by all participants for this mediation, and who is not involved in the conflict, mediates between the conflicting parties. This person supports the process, from the conflict analysis to finding a solution in which everyone feels represented, or which can be accepted by everyone. The mediator ensures that parties treat each other with respect, and through the way in which they manage the conversation and the organisational framework, help ensure that each conflicting party can openly express their opinion, with their personal view of the conflict.

  A mediation is divided into several phases:

  **Conflict analysis:** First, the conflicting parties describe the conflict from their respective personal standpoints. All topics, subjects of disagreement and fields of conflict are collected about which the participants wish to talk.

  **Conflict processing:** Then, the mediator provides support in examining the background to the conflict. At the end of this phase, the conflicting parties obtain clarity regarding their own feelings and needs, as well as the wishes and feelings of the other party.

  **Conflict resolution:** As a next step, the persons seeking mediation develop various resolution options for the conflict, with the support of the mediator.

  **Concluding agreement:** At the end of a successful mediation, the conflict resolution method is selected in a negotiation process which takes equal account of all interests. In the concluding agreement, in the best-case scenario, the persons seeking mediation record their win-win resolution in writing and agree on the steps needed to realise it. A meeting to check on how successful these steps have been should be planned after an appropriate time following the mediation.”

  It should be noted that the possibility of an unsuccessful mediation is not considered.

- Are reports tracked? Yes/No
  - How are they tracked? By who?
  - N/A

- Are repeated complaints escalated to a disciplinary board? What is the process?
  - N/A

- **What resources are available for individuals reporting?**
  - Counselors or advocates, especially those of the same race, ethnicity, and gender.
  - N/A
○ Automatic or requested investigation of potential impact on grades or evaluations.
N/A
○ Protection against retaliation or repercussions, accommodations for continuing work/courses, option for pass/fail or outside assessment.
N/A

● What resources are available to groups raising issues or proposing changes?
○ Petitions of # signatures trigger a town hall, meeting with organizational leadership, or policy change. What is the follow-up process for town halls and meetings?
No
○ Working groups or committees with power to change or propose changes to policy.
Yes
○ Cultural surveys, regular or only after wide-spread reports or high-profile incidents.
N/A
○ Leadership proactively asks students and/or staff for input on how to improve.
No

Copy of the Service Agreement on Measures Relating to Social Misconduct, Conflict Prevention and Conflict Resolution at the GFZ

The Executive Board and the Staff Council of the Helmholtz-Zentrum Potsdam Deutsches GeoForschungsZentrum Potsdam (GFZ), conclude the following service agreement in accordance with the Brandenburg PersVG [Staff Representation Act]:

Service Agreement on Measures Relating to Social Misconduct, Conflict Prevention and Conflict Resolution at the GFZ

Preamble
The purpose of this service agreement is to promote a collegial atmosphere at the GFZ, which is characterised by an appreciation of and respect for each other. All members of staff can make an important contribution to achieving this goal through their behaviour. The potential for social misconduct and conflicts in everyday working life can never entirely be ruled out. For this reason, it is very important to know how to respond. Recognition at an early stage, open communication and an objective, constructive approach to handling social misconduct and conflicts is an important component in promoting motivating, healthy work conditions at the GFZ.

The opportunities for obtaining advice and for submitting complaints at the GFZ in cases of social misconduct at the workplace, particularly with regard to bullying, discrimination and sexual harassment, are presented in summary in this service agreement.

§ 1 Area of Validity
This service agreement applies to all of the GFZ’s employees.

§ 2 Basic Principles
All employees are expressly encouraged not to tolerate social misconduct, to contribute to resolving conflicts in the workplace and to offer their help in doing so. Conflicts should be recognised in due time and resolved at an early stage. Escalations and forms such as discrimination, bullying or sexual harassment at the workplace should not be allowed to develop in the first place. The legal bases for
handling discrimination, bullying or sexual harassment are created in particular by the General Equal Treatment Act (AGG) and the State Equal Rights Act (LGG) for the federal state of Brandenburg. Management staff are explicitly requested to actively contribute to finding an objective solution to conflicts within the scope of their management responsibility, while retaining the personal integrity of all conflicting parties.

In order to resolve conflicts, various individuals/committees at the GFZ offer advice and support (§ 4), or receive complaints.

As well as the existing complaints body in compliance with the AGG, this service agreement also provides an offer of conflict guidance (§ 5).

In cases of social misconduct and conflicts members of staff have the right to decide themselves which individuals/committees they would like to contact in order to request support, or to which ones they would like to submit a complaint. At the request of the members of staff, all those spoken to are obliged to maintain absolute confidentiality.

§ 3 Definition of Terms

Discrimination is any (direct and indirect) disadvantage arising from ethnic origin, gender, religion or worldview, disability, age or sexual identity (cf. § 1 AGG).

Social misconduct and discrimination may lead to bullying. Acts of bullying comprise the repeated, systematic harassment, denunciation and similarly negative communicative acts over a longer period of time. All destructive actions that aim to damage the image of the person affected and to exclude them are defined as social misconduct.

Sexual harassment is any type of sexually motivated behaviour which violates the dignity of the member of staff. All acts of discrimination and harassment based on gender are classified as sexual harassment in accordance with § 3 of the AGG. These should not be confused with sexual abuse, which is a punishable sexual act performed on other people.

§ 4 Opportunities for consultation and submitting complaints

(1) Management Staff

Management staff are the people to contact in cases of social misconduct and conflicts in the workplace, particularly with regard to bullying, discrimination and sexual harassment. If members of staff feel exposed to situations in which a clarifying conversation between the conflicting parties cannot take place or appears to be unfeasible, or if they themselves cannot or do not wish to initiate such a conversation, they have the opportunity to seek advice from or submit a complaint to their direct line manager, or the manager at the next level.

The management staff are responsible for ensuring that the relevant instructions given are followed and that attempts are made to find a solution through suitable measures. Here, they can obtain advice and support from the individuals/committees named in §§ 5, 6 and 7. Management staff must be consistent in taking measures to counteract social misconduct and conflicts. The member of the management staff must ensure that the person submitting the complaint is not disadvantaged in any way as a result.

The GFZ will take appropriate steps to ensure that management staff and employees are trained and sensitised with regard to a "collegial atmosphere, conflict prevention and conflict resolution in the workplace".

(2) Other opportunities at the GFZ

Every member of staff, para. 1 notwithstanding, has the right and the opportunity to obtain advice and support from other individuals/committees in cases of social misconduct and conflicts in the workplace, particularly in cases of bullying, discrimination and sexual harassment. In particular, these are:

- the elected staff representative bodies such as the staff council, the representative body for severely disabled members of staff, the representative body for doctoral students, and for young people and trainees
- the people responsible named by the GFZ, such as equal opportunities officers, the professor responsible for the PhD student or the person responsible for good scientific practice, and
- the trained mediators at the GFZ.

A contact person can be freely selected from this group.
If a meeting is requested, consultation must in all cases be provided within a short space of time. The result of this consultation may be that no further steps are taken to resolve the conflict with the support of third parties, that the person affected attempts themselves to clarify the matter directly with the conflicting party in a conversation, or that subsequently, the conflict consultancy service (§ 5) or the complaints body (§ 6) at the GFZ are involved, and are requested to provide their support. The final decision regarding the next steps to be taken is made by the member of staff.

§ 5 Conflict management at the GFZ
There is a conflict management team on hand at the GFZ, which provides independent, comprehensive advice to employees in cases of social misconduct and conflict. It is comprised as follows:

- 1 representative of the equal opportunities officer
- 1 representative of the human resources department
- 1 internal mediator
- 2 representatives of the staff council
- 1 person responsible for severely disabled staff

The current members of the conflict management team are listed in Annex 1, with contact details. To contact the entire team, please use the following e-mail address: konfliktberatung(at)gfz-potsdam.de

Every member of staff can contact the committee or individual members of the committee in confidence if they themselves are affected by social misconduct/conflicts, or if they obtain knowledge of such cases.

In a one-to-one meeting or in a meeting with the consultancy team, in strict confidence, the problem is described and recommendations are developed as to how to proceed.

Possible options for action are:

- Arranging hearings for other members of staff
- Arbitration talks with all involved
- Mediation procedures with GFZ mediators
- External mediation procedures
- The submission of a complaint to the complaints office, with possible subsequent disciplinary measures

Particularly in the case of severe misconduct, such as bullying, discrimination or sexual harassment in the workplace, the conflict management team will recommend that the member of staff submit a complaint to the GFZ complaints office.

The decision regarding the behaviour of the team and, in particular, the submission of a complaint, always lies with the member of staff.

§ 6 The GFZ complaints office
There is a formal complaints office at the GFZ which has been created in accordance with § 13 of the AGG, and which provides the services specified in this law. Employees have the right to complain to the complaints office if they have experienced discrimination in accordance with § 1 of the AGG. These are cases of discrimination for reasons of ethnic origin, gender, religion or worldview, a disability, age or sexual identity. At the GFZ, the opportunity to complain has been extended to include cases of bullying.

The complaints office offers the following services:

- The receipt of complaints
- Determining and checking the facts, while retaining personal rights
- Notification/communication of the check
- Taking measures - from a clarifying discussion through to disciplinary measures, such as warnings, written notices, etc.
- Checking whether the misconduct is of a criminal nature
- Evaluation of the effectiveness of the measures
Members are the head of the human resources department and the chairperson of the staff council. Members of staff who experience discrimination for any of the above reasons can contact these individuals, or the complaints office directly, at any time: beschwerdestelle(at)gfz-potsdam.de

As soon as the complaints office is contacted directly or indirectly by an affected individual, an initial face-to-face meeting is arranged within a short space of time, and the complaint procedure, with the individual steps described above, is quickly set in motion. The complaints office can also involve the conflict management team (§ 5).

The statutory regulations set out in the AGG regarding the rights of employees also apply. In particular, employees submitting a complaint and the members of staff who support them may not be disadvantaged as a result of their exerting of the right to complain.

§ 7 Mediation at the GFZ

In order to bring social misconduct to a halt and to resolve existing conflicts, the GFZ offers the option of an internal mediation, with trained, certified mediators who work at the GFZ. They are named in Annex 1. Annex 2 contains a description of the basic features of the mediation process. Every employee also has the right to contact the internal mediators directly in cases of conflict.

The mediators are released from their normal work duties for the mediation process. The GFZ also provides assurance that they can participate in the necessary qualification and training measures, and that the costs will be borne by the GFZ.

On the recommendation of the conflict management team and/or the complaints office, there is also the option of involving external mediation in cases of severe conflict. In such cases, the head of the human resources department must approve the coverage of the costs by the GFZ.

§ 8 Confidentiality

Any information made available through the application of this service agreement is to be treated in strict confidence. The decision as to which specific information may be forwarded to whom must be made at the end of the consultation by the person seeking advice.

§ 9 Inception and validity

1. The service agreement comes into force on being signed and replaces the "Service agreement on conflict prevention and conflict management in the workplace" of March 2017, and is concluded for an unspecified period of time.
2. The service agreement may be terminated in writing with a notification period of one month before quarter end, and at the earliest, 24 months after inception.
3. The present agreement shall remain in force until a new agreement is concluded. Updates and/or amendments to take into account statutory or actual developments may be made by the parties following mutual agreement, without termination.
4. Should one clause in this service agreement be or become wholly or partially legally ineffective, the validity of the remaining clauses shall not be affected.
5. When processing personal data, the statutory regulations must be observed in accordance with the EU-GDPR, the German Federal Data Protection Act (BDSG) and the Brandenburg Data Protection Act (BbgDSG).

08.05.2019 Executive Board Prof. Dr. R. Hüttl, Dr. St. Schwartze
14.05.2019 Staff Council Dr. H. Schelle
Annex 1 Contact persons of relevance to this service agreement
Annex 2 Mediation procedures at the GFZ

Annex 1: Contact persons of relevance to this service agreement

Complaints Office
Dr. B. Hörstrup, Head of V1
Dr. H. Schelle, Chairman of the Staff Council

Conflict Management Team
C. Schäfer, head of working group in V1
Dr. A. Hüttges, mediator
Dr. U. Weckmann, equal opportunities officer
Annex 2: Mediation at the GFZ

Mediation is a confidential, structured procedure, in which the conflicting parties attempt, with the aid of one or more mediators, to voluntarily and under their own responsibility, to find a mutual path to resolving their conflict (§1, para. 1 of the Mediation Act).

The basic principle of mediation is that a third party, a person accepted by all participants for this mediation, and who is not involved in the conflict, mediates between the conflicting parties. This person supports the process, from the conflict analysis to finding a solution in which everyone feels represented, or which can be accepted by everyone. The mediator ensures that parties treat each other with respect, and through the way in which they manage the conversation and the organisational framework, help ensure that each conflicting party can openly express their opinion, with their personal view of the conflict.

A mediation is divided into several phases:

- **Conflict analysis**: First, the conflicting parties describe the conflict from their respective personal standpoints. All topics, subjects of disagreement and fields of conflict are collected about which the participants wish to talk.

- **Conflict processing**: Then, the mediator provides support in examining the background to the conflict. At the end of this phase, the conflicting parties obtain clarity regarding their own feelings and needs, as well as the wishes and feelings of the other party.

- **Conflict resolution**: As a next step, the persons seeking mediation develop various resolution options for the conflict, with the support of the mediator.

- **Concluding agreement**: At the end of a successful mediation, the conflict resolution method is selected in a negotiation process which takes equal account of all interests. In the concluding agreement, in the best-case scenario, the persons seeking mediation record their win-win resolution in writing and agree on the steps needed to realise it. A meeting to check on how successful these steps have been should be planned after an appropriate time following the mediation.
URGE Complaints and Reporting Policy for ETH Zurich

- **The link(s) to the reporting policy at our organization are here:**
  - [https://respekt.ethz.ch/en/respektloses-verhalten.html](https://respekt.ethz.ch/en/respektloses-verhalten.html) - Main website with university policies on bullying, harassment, discrimination, and threats and violence
  - [https://rechtssammlung.sp.ethz.ch/Dokumente/615en.pdf](https://rechtssammlung.sp.ethz.ch/Dokumente/615en.pdf) - document that outlines the regulations on reporting.
  - **None of these documents even contain the words race or racism!**
  - Link - Department, Lab, Division, Advisor or Supervisor Policies - nonexistent
  - Are reporting policies regularly reviewed? What is the process for changing policy? **Unclear**
  - Are the rates of reporting made publicly available (e.g. # of reports each year)? I was unable to find anything so I think it must not be.

- **What mechanisms are available for reporting complaints, bias, microaggressions, harassment, and overt racism?**
  - Who are the designated individuals/positions for reporting incidents?
    The procedure for dealing with reports of inappropriate behavior comprises an informal and formal phase.
    Formal reports can only be made once attempts at resolution via the contact and advisory services have proven unsuccessful.
  - Can reports be made online? Where? **Only via emailing Ombudspersons**
    Anonymously? Yes, informally through ombudspersons; this is only an informal report not like a whistleblower platform. Official reports must be made in writing and cannot by anonymous.
  - Who do in-person and online reports go to? Who has access to see reports?
    Informal: victim can go to 4 (white) ombudspersons, to an internal advice and conciliation services (only a general email/phone given), to an external advice service, or if faculty they can go to Prof. Dr. Gudela Grote, a “Lecturers Conference Contact Person”.
    Formal: Conflict Management Reporting Office (no names given)
  - Are police included in the process? When and how? **No (at least it does not appear so).**
What are the outcomes or consequences for reported individuals?

- "Professors or employees who act inappropriately towards other ETH members or guests must expect punishment under personnel law and/or other disciplinary measures (such as mandatory coaching). In the case of minor failures or exploitation of dependent relationships or power structures on the part of managers or supervisors, a suitable warning will be issued. Particularly serious misconduct may lead to dismissal, especially if the circumstances of the case constitute grounds for prosecution." Basically sounds like a slap on the wrist unless criminal.
- Who decides the outcomes/consequences? What is the process? A Conflict Manager along with a “coordination group” the composition of which depends on the incident but includes management-level members from HR, Office For Faculty Affairs, Academic Services and the Legal Office. It's not super clear but it sounds like there's a hearing with both parties in attendance.
- Are reports tracked? Not clear How are they tracked? By who?
- Are repeated complaints escalated to a disciplinary board? What is the process?

What resources are available for individuals reporting?

- Counselors or advocates, especially those of the same race, ethnicity, and gender. No mention of this online.
- Automatic or requested investigation of potential impact on grades or evaluations. No mention of this online.
- Protection against retaliation or repercussions, accommodations for continuing work/courses, option for pass/fail or outside assessment. Possible protective measures may be agreed at the request of an affected party if they are in a dependent relationship.

What resources are available to groups raising issues or proposing changes?

- Petitions of # signatures trigger a town hall, meeting with organizational leadership, or policy change. What is the follow-up process for town halls and meetings? Not stated online.
- Working groups or committees with power to change or propose changes to policy. Diversity Team of AVETH – Association of Scientific Staff at ETH https://www.aveth.ethz.ch/diversity-anti-racism-statement/
- Cultural surveys, regular or only after wide-spread reports or high-profile incidents. Have occasionally seen online surveys but not about inappropriate behavior I don’t think.
- Leadership proactively asks students and/or staff for input on how to improve. Unsure.